PTO/SB/21 (02-04) Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE rwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. **Application Number** 10/826,153 TRANSMITTAL Filing Date April 16, 2004 **FORM** First Named Inventor Scher Art Unit (to be used for all correspondence after initial filing) Examiner Name Attorney Docket Number 01-002001 Total Number of Pages in This Submission **ENCLOSURES** (Check all that apply) After Allowance communication Fee Transmittal Form Drawing(s) to Technology Center (TC) Appeal Communication to Board Licensing-related Papers Fee Attached of Appeals and Interferences Appeal Communication to TC Amendment/Reply (Appeal Notice, Brief, Reply Brief) Petition to Convert to a **Proprietary Information** After Final Provisional Application Power of Attorney, Revocation Affidavits/declaration(s) Change of Correspondence Address Status Letter Other Enclosure(s) (please Terminal Disclaimer Extension of Time Request Identify below): Copy of Notice of Missing Parts, Request for Refund **Express Abandonment Request** Supplemental Data Sheet, Declaration, 3.73(b) Statement CD, Number of CD(s) Information Disclosure Statement Remarks Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Andrew L. Filler, Reg. No. 44,107 Individual name Signature

CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Typed or printed name Michelle Chan Date August 23, 2004

Date

August 23, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

August 23, 2004

Date

(Modified) PTO/SB/17 (10-03) 5 8 500g Complete if Known 挺E TRANSMITTAL Application Number 10/826,153 for FY 2004 Filing Date April 16, 2004 01/2003. Patent fees are subject to annual revision First Named Inventor Scher x Applicant claims small entity status. See 37 CFR 1.27 Examiner Name Group/Art Unit TOTAL AMOUNT OF PAYMENT \$801 Attorney Docket No. 01-002001 METHOD OF PAYMENT (check one) FEE CALCULATION (continued) 3. ADDITIONAL FEES Credit Money Check Card Order Other Large **Entity** Small Entity Fee Fee Fee Fee Fee Description Fee Paid X Deposit Account Code (\$) Code (\$) Surcharge - late filing fee or oath Deposit Acct. 1051 130 2051 65 65 50-2336 No. 1052 50 2052 25 Surcharge - late provisional filing Deposit Acct. cover sheet Nanosys, Inc. 1053 130 1053 130 Non-English specification Name For tiling a request for ex parte reexamination 1812 2520 1812 2520 The Commissioner is authorized to: (Check all that apply) 1804 920* 1804 920* Requesting publication of SIR prior to Examiner action Requesting publication of SIR after X Charge the fees indicated below 1805 1805 1840 18401 Examiner action Charge any additional fee(s) during the pendency of this 1251 110 2251 Extension for response within first month application 1252 420 2252 200 Extension for response within second month 1253 950 2253 Extension for response within third month 460 X Credit any overpayments 1254 1480 2254 720 Extension for response within fourth month 1255 2010 2255 980 Extension for response within fifth month FEE CALCULATION 1401 330 2401 160 Notice of Appeal BASIC FILING FEE 1402 330 2402 Filing a brief in support of an appeal 160 Request for oral hearing Large Small 1403 290 2403 140 Fee Fee Fee Fee Fee Description Fee Paid 1451 Petition to institute a public use proceeding 1510 1451 1510 Code (\$) Code (\$) 1452 2452 Petition to revive - unavoidable 110 55 1001 2001 385 Utility filing tee 385 1453 1330 2453 Petition to revive - unintentional 640 1002 340 2002 170 Design tiling tee 1501 1330 2501 640 Utility issue tee (or reissue) 1003 530 2003 265 Plant filing fee 480 1502 2502 230 Design issue fee 1004 770 2004 385 Reissue filing fee 1503 640 2503 310 Plant issue fee 1005 160 2005 80 Provisional filing fee Petitions to the Commissioner 1460 130 1460 130 385 SUBTOTAL (1) 1807 50 1807 50 Processing fee under 37 CFR 1.17(q) 180 1806 1806 180 Submission of Information Disclosure Stmt **EXTRA CLAIM FEES** 2. 8021 40 8021 Recording each patent assignment per 40 Fee from property (times number of properties) Extra claims below Fee Paid 1809 770 2809 370 Filing a submission after final rejection Total claims -20** 59 39 351 (37 ČFR 1.129(a)) naepena 1810 770 2810 370 For each additional invention to be 3 -3** = 0 examined (37 CFR 1.129(b)) Multiple Dependent Request for Continued Examination (RCE) Request for expedited examination of a design 1801 770 2801 370 1802 900 1802 900 Large Entity Small **Entity** application Fee Fee Fee Fee Description Fee 300 1504 300 1504 Publication Fee Code (\$) Code (\$) 1202 18 2202 9 Claims in excess of 20 Other fee (specify) 1201 86 2201 43 Independent claims in excess of 3 1203 290 2203 145 Multiple dependent claims, if new Other fee (specify) 1204 "Reissue independent claims over original patent SUBTOTAL (3) 1205 18 9 2205 **Reissue claims in excess of 20 \$65 and over original patent *Reduced by Basic Filing Fee Paid SUBTOTAL (2) or number previously paid, it greater; For Reissues, see above SUBMI*TED BY Complete (if applicable) Typed or_ Andrew L. Filler Reg. Number 44,107 Printed:Name Deposit Account Signature 🔇 Date 8/23/2004 50-2336 User ID CERTIFICATE OF MAILING I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on: August 23, 2004 Typed or Printed Name Michelle Chan

muchell.

Signature



United States Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address COMMISSIONER FOR PATENTS P.O. Box 1450 Alexandria, Viginia 22313-1450 www.uspto.gov

APPLICATION NUMBER

FILING OR 371 (c) DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

10/826,153

04/16/2004

Erik Scher

01-002001

33140 NANOSYS INC. 2625 HANOVER ST. PALO ALTO, CA 94304



CONFIRMATION NO. 8584 FORMALITIES LETTER *OC000000013085914*

Date Mailed: 06/28/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

0B/27/2004 EFLURES 00000002 502336 10826153

385.00 DA 01 FC:2001

FILED UNDER 37 CFR 1.53(b)

02 FC:2202 03 FC:2051

351.00 DA 65.00 DA

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below. however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- · The statutory basic filing fee is missing. Applicant must submit \$ 385 to complete the basic filing fee for a small entity.
- The oath or declaration is missing. A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The applicant needs to satisfy supplemental fees problems indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

· Additional claim fees of \$351 as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$801 for a Small Entity

- \$385 Statutory basic filing fee.
- \$65 Late oath or declaration Surcharge.
- Total additional claim fee(s) for this application is \$351

• \$351 for 39 total claims over 20.

Replies should be mailed to:

Mail Stop Missing Parts

Commissioner for Patents

P.O. Box 1450

Alexandria VA 22313-1450

A copy of this notice <u>MUST</u> be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE